

YOUTH SERVICES POLICY

Title: Unusual Occurrence Reports (UORs)	Type: A. Administrative
Next Annual Review Date: 01/27/2015	Sub Type: 1. General
	Number: A.1.14
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References: ACA Standard 4-JCF-2A-19 (Performance-Based Standards For Juvenile Correctional Facilities) and ACA Standard 2-7168 (Juvenile Probation and Aftercare Services); YS Policies with reference to an Unusual Occurrence Report and applicable ACA Standards are listed on Attachment A.2.14 (a); CBS/DYS Policy and Procedure Manual	
STATUS: Approved	
Approved By: Mary L. Livers, Deputy Secretary	Date of Approval: 01/27/2014

I. AUTHORITY:

Deputy Secretary of Youth Services (YS) as contained in La. R.S. 36:405. Deviation from this policy must be approved by the Deputy Secretary.

II. PURPOSE:

To establish the procedures for reporting incidents or observation of events that may have an impact on any aspect of the operation of YS.

III. APPLICABILITY:

All YS employees, contract personnel, and volunteers.

IV. DEFINITIONS:

Operations Shift Supervisor (OSS) – An employee who is responsible for a range of duties which includes, but is not limited to the following: supports management in maintaining a safe, secure facility; oversees administrative and operational security activities during specific shifts; manages employees during each assigned shift; ensures adequate security coverage; leads count procedures; oversees the custody, supervision and control of secure care youth; manages frontline security employees; assists in controlling youth movement; assists in directing the use and issuance of keys, locks, and security equipment.

Shift Packet - A packet of information compiled by each OSS which contains relevant documents related to incident(s) that occurred on a particular shift.

Shift Report - A summary of the activities on a particular shift.

Training Records Entry Completed (TREC) – The database used to track training hours of all YS employees.

Unusual Occurrence Report (UOR) – A document that must be completed by staff to report incidents or observations of events that may have an impact on any aspect of the agency. UOR forms shall be made available to all employees, working all areas at all times. Employees must complete and submit a UOR prior to the end of their tour of duty on the day the incident was observed or comes to the employee's attention in any way. If a UOR form is not available, the employee must use any paper available to report the pertinent information. UORs may also be submitted by email.

YS Employee – For the purposes of this policy, a YS employee includes employees, contract providers, visitors, volunteers or interns.

V. POLICY:

It is the Deputy Secretary's policy that all YS employees shall complete an "Unusual Occurrence Report" (UOR) [see A.1.14 Attachment (a)] on any incident or observation which affects the accomplishment of the agency's mission and guiding principles.

NOTE: Report any unsafe or dangerous conditions and/or hazardous materials immediately!

VI. GENERAL INFORMATION/HELPFUL HINTS:

Policies with reference to a UOR and applicable ACA Standards are listed on Attachment A.1.14 (b).

UOR is a term used to describe the document utilized by employees in all units of YS to report incidents or observation of events that may have an impact on any aspect of the operation of the agency. **Observations are not always written up only to point out problems/issues, but should also be done in order to alert staff to issues that directly affect compliance in some way, shape or form, in order to better assist those responsible for oversight in designated areas.**

Incidents or observations that must be reported usually occur at the workplace, but could also happen anywhere at any time.

The following non-exclusive list is to show examples of incidents/events which are considered "unusual occurrences":

This list is for illustration purposes only. The watchword for completing a UOR is that "if not sure one is required, WRITE THE UOR about anything the slightest bit unusual". An employee shall not be written up for writing a UOR that is truthful, but may be disciplined for failing to write one when necessary.

A. Examples of a **GENERIC NATURE** are as follows:

1. Allegations of abuse/neglect that a youth brings to an employee's attention or that are witnessed;
2. A use of force or physical intervention is witnessed or heard about;
3. Any incident resulting in a reportable injury;
4. Keys are retrieved for a vehicle and upon entering the vehicle, either trash is found in the vehicle, the first aid kit is missing, there is no fire extinguisher, or the log was not completed by the prior person using the vehicle, etc.;
5. When illegal weapons, drugs, or any contraband are found during searches;
6. When an employee has knowledge of any kind about a criminal act allegedly committed by another employee or any other person in a YS office or facility;
7. If an employee has been the victim of or has knowledge of a criminal act committed by a youth in secure care or under supervision, (unless the youth has been arrested or taken into custody for the alleged criminal act);
8. When any state property is lost, stolen, damaged or destroyed, or not accounted for;
9. If there are escapes and/or apprehensions; deaths; serious incidents; and any other high profile or large scale event warranting immediate notification of authority (e.g., natural disaster, hostage situation, facility riot, large scale evacuation, etc.); and
10. Anything else unusual that is not typically part of the normal routine of business.

B. Examples specifically for **SECURE CARE FACILITIES** are as follows:

1. Youth roaming the facility unsupervised is witnessed;
2. A staff/youth accident (running into the wall, tripping on walkway, etc.) is heard about or witnessed;
3. While working in a housing unit, a youth floods the area or the youth's assigned room or a flooding incident is heard about;
4. While on the walk one or more youth take off running or walk away from the line;
5. When eating at the dining hall the food is cold or the milk is warm, or there is water on the floor and no "Slippery When Wet" hazard control sign is out to warn about the spillage, or there is no hand soap at the hand-washing station for youth and staff to wash hands;
6. When a youth reports to a staff member that during meal time the food was cold or the milk was warm, or there was water on the floor, or there was no hand soap or napkins, etc.;
7. Upon entering an area (housing area, school, infirmary, boy's club, chapel, library, dining hall, vocational trade, etc.) youth are present, but no staff are visible;
8. When working in a housing unit and youth snacks do not show up on time or not at all;
9. When a youth reports there is no hot water in the shower area of the restroom;
10. When a youth reports that another youth is planning to sneak, steal or display any type of unacceptable behavior towards another youth or staff member, regardless of where the youth is housed or where the staff member works, etc.;
11. When an altercation/serious disruption/argument between youth, or between staff, or between youth and staff is witnessed or heard about;
12. Recreational/sports related injuries of youth are witnessed or heard about;
13. When a staff member arrives at an assigned post for shift change and upon conducting required inspections of equipment and materials which were turned over to the staff member and any of the following issues are discovered:

- There is missing equipment;
- The key tag is missing or the number of keys received does not match the key tag;
- The accommodations binder is not in a secure location;
- Doors that are required to be locked are not;
- The radio is not working;
- The telephone is not working;
- Youth are roaming freely to and from the restroom area;
- The housing unit/restroom are not sanitary;
- Safety devices are not in place (evacuation route, fire extinguishers, etc.);
- A light is out;
- The camera lens contains a film over it;
- On the evening shift, the youth have not had their regularly scheduled outside recreation and there is no notation in the logbook explaining the delay;
- The TV is on and it is not the appropriate time and/or day allowed for TV according to the schedule;
- Contraband items are found during a search of the housing unit; and/or
- Youth make known that they have reported issues throughout the day to the prior staff member on duty and it is found out that nothing had been reported, etc.

All Code of Conduct Violation Reports (refer to Y.S. Policy No. B.5.1) shall be accompanied by a UOR.

C. Examples specifically for **CBS/P&P** are as follows:

1. When incidents or observations of a serious nature occur during monitoring visits of contract facilities;
2. When a youth under supervision causes a major disturbance in the office;
3. When a serious disruption/ argument among staff is witnessed;
4. When youth whose offense falls in the highest category need to be detained pending assignment to a secure care facility and are not detained, placed in a contract facility, or released;
5. If there are problems complying with a court order and the court will not modify or rescind the original order;

6. While monitoring youth assigned to YS who are in residential placements and there is a situation out of the ordinary;
7. When there is any use of intervention for self-defense when physically attacked or when the possibility of such an attack is imminent; in defense of a third person who is physically threatened by a youth; prevention of a crime, including criminal damage to property; prevention of escape or runaway; preventing a youth from inflicting self-harm; or a passive resistant youth;
8. When there is an unusual incident while performing any of the following functions:
 - transporting of youth;
 - taking youth into custody;
 - assisting law enforcement agencies in warrant sweeps or community policing activities; and
 - special job assignments at the discretion of the agency.
9. If an officer is observed wearing a firearm in a conspicuous manner or unconcealed when the situation warrants otherwise.
10. If an officer is observed carrying a firearm without at least one other intermediate weapon.
11. When there is knowledge that an officer has/is consuming alcoholic beverages or drugs (non-prescription/illegal/mind altering, etc.) prior to or when carrying a firearm.
12. Anytime a firearm is drawn (other than on the firing range) in a situation or to clean or store it;
13. When there is an accidental discharge of firearm, which does not result in injury;
14. If a firearm is discharged during an incident;
15. Any loss or theft of a firearm;
16. The loss or knowledge of a lost/stolen commission card authorizing probation and parole series staff to carry a firearm.

VII. PROCEDURAL REQUIREMENTS FOR REPORTING, DOCUMENTATION AND REVIEW:

- A. UORs shall be made available to all employees, working all areas, at all times. It shall be the supervisor's responsibility to inform the responsible party when more forms are needed for a specific area.

- B. UORs shall be completed on the required forms to ensure that copies are included in the shift packets at the secure care facilities, and that the supervisor and employee retain copies for their records.

Should a UOR form not be available under unusual circumstances, the employee must use any paper available to report the pertinent information. UORs may also be submitted by email in any format.

- C. Employees shall complete and submit a UOR prior to the end of their tour of duty on the day the incident is observed or comes to the employee's attention in any way. The UOR shall be signed and dated on the date written and must reference the time and date of the incident. The information contained in a UOR must be filled out as legibly as possible since several people will need to review it. If necessary the information may be printed.
- D. Everyone involved or witnessing an incident as described in this policy shall complete and submit a UOR as required.

Secure Care Code of Conduct Exception: If the situation involves a Code of Conduct violation only one staff member shall write up the incident on a Code of Conduct Violation Report. This report shall not include all of the information contained in the UOR, but shall contain a brief description as to what the youth did to violate the Code of Conduct. The remainder of witnesses shall also complete a UOR. All UORs pertaining to the incident shall accompany the Code of Conduct Violation Report.

- E. Written UORs shall cover the seven essentials, (i.e. who, what, where, when, why and how). Include everything, step by step, about the incident or occurrence and what was done and by whom. A detailed explanation of what caused the incident must be included in the report. Any action taken shall be described. Examples of such actions are as follows:

1. How were the injured people, if any, assisted?
2. Was anyone notified and if so, whom?
3. When did assistance show up?
4. What happened to the evidence?
5. What happened to the youth involved?
6. Who escorted the youth and to where?
7. Was the youth seen and examined by medical staff?
8. And did anything else happen as a result of the incident?

- F. Use of force/intervention incidents shall be described in detail when resistance was experienced. All steps taken shall be explained. The names of staff member(s) that engaged in the incident shall be listed whether the incident was physical or verbal. If another staff member intervened, describe how assistance was provided. A detailed explanation of what caused the incident must be included in the report. If mechanical restraints were used, provide the name of the person that applied them and who, if anyone, assisted in holding the youth while the application was in progress and which hold was used by that person. (Refer to YS Policy No. C.2.6 for more information.)
- G. List all steps taken by staff to prevent the incident, i.e. counseling with dorm staff, contracted medical staff, treatment staff/group leaders and/or mentors.

VIII. INVESTIGATIVE SERVICES (IS):

The Facility Director/designee shall provide copies of all UORs to IS by the next business day following their creation. YS Policy No. A.1.4 contains additional information concerning IS.

IX. SUMMARY OF STEPS REQUIRED AND WORTH REMEMBERING:

1. If in doubt as to whether or not to write a UOR, WRITE ONE.
2. Complete the UOR on the day the incident happened by referring to the information and procedures outlined in this policy, remembering the seven essentials, (i.e. who, what, where, when, why and how).
3. Write as legibly as possible or print the information required on the UOR form.
4. Reference the time and date of the incident on the form.
5. Sign and date the form on the date it was written.
6. Keep a copy of the UOR to verify that it was written and given to the supervisor.
7. Submit the completed UOR prior to the end of your tour of duty.

NOTE TO SECURE CARE STAFF: The UOR shall be submitted to the OSS prior to the end of the OSS' tour of duty. The OSS shall include it in the Shift Packet, along with the Shift Report, which outlines that shift's activities. Shift packets shall be maintained in a secure area designated by the Facility Director.

NOTE TO CBS/PROBATION AND PAROLE STAFF: The UOR shall be submitted to the immediate supervisor/Regional Manager for review pursuant to YS policies and CBS/DYS Policy and Procedure Manual.

X. MANDATORY TRAINING: (STAFF DEVELOPMENT)

- A. Pursuant to YS Policy No. A.2.24, Report Writing is a required class which covers UORs as part of pre-service orientation training. The contents of this policy shall also become part of the required pre-service training.
- B. Training on this policy shall occur on an as needed basis thereafter.
- C. Documented training shall be entered into TREC by the designated unit staff.

XI. QUALITY ASSURANCE:

- A. Staff shall comply with YS Performance Standards contained in YS. Policy No. C.5.5.
- B. Data shall be collected on UORs to ensure data integrity, as well as routine quality assurance checks.

XII. POLICY VIOLATION:

Staff members who are found guilty of non-compliance with this policy may be subject to disciplinary action.

Previous Regulation/Policy Number: N/A

Previous Effective Date: N/A

Attachments/References:



A.1.14 (a) UOR form.01-27-14.doc